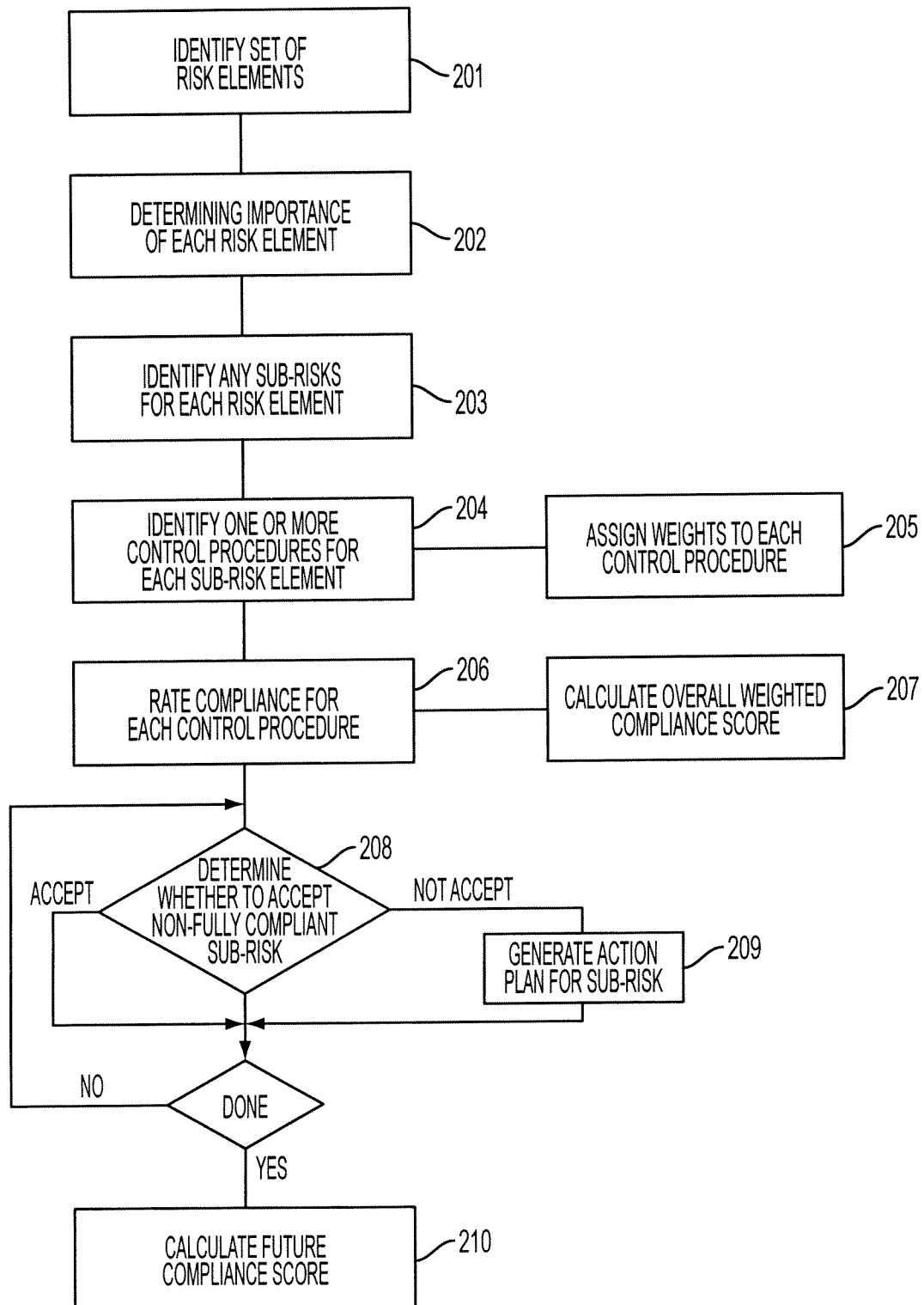


FIG. 1



Assessments

Scope

Risk Assessment

Risk Detail

Action Plan

Submit

Voice / Trader Voice / Hong Kong

301

Risk Rating

High

Med

Low

Business Continuity

Financial

Information

Legal/Regulatory

People

Physical Security

Technology

302

302

302

Risk Description:

The risk that the firm is unable to continue operating in a certain location(s) in the event of a disruption to business.

Policies:

1. Business and technology recovery action plans must exist for all businesses, including their associated support functions. Fluid components of the recovery plans (e.g. notification lists) must be updated semi-annually and more static information (e.g. strategies, recovery procedures) must be updated annually.

Save

FIG. 3

Assessments

Scope

Risk Assessment

Risk Detail

Action Plan

Submit

401

Voice / Trader Voice / Hong Kong

402A

Business Continuity

403A

Bus. Resum.

403B

Change Management

403C

Management Reporting

403D

Off-site Recoverability

403E

System Testing

402B

Test Performance

Viruses

Anti-virus Software

Currency of AV software.

Scanning Practices

Scope of Scanning

Financial

Expense Mgt.

Detailed Budget

402A

Business Continuity

403A

Bus. Resum.

403B

Change Management

403C

Management Reporting

403D

Off-site Recoverability

403E

System Testing

402B

Test Performance

Viruses

Anti-virus Software

Currency of AV software.

Scanning Practices

Scope of Scanning

Financial

Expense Mgt.

Detailed Budget

402A

Business Continuity

403A

Bus. Resum.

403B

Change Management

403C

Management Reporting

403D

Off-site Recoverability

403E

System Testing

402B

Test Performance

Viruses

Anti-virus Software

Currency of AV software.

Scanning Practices

Scope of Scanning

Financial

Expense Mgt.

Detailed Budget

Subrisk description for: Bus. Resum.

Businesses could be unable to resume if their facilities become unavailable. This could lead to a loss of market share, regulatory penalties and reputational damage.

Control Procedure 3 : 5 Off-site Recoverability

404

A comprehensive technology recovery plan exists for restoration of this service to another site including duplication of critical items of hardware, software, networks and third party services as well as monitoring tools, technologists, and documentation

Rating

Yellow

405

Partial Compliance

Gap: (Required)

A plan exists but is not as comprehensive as listed above

Additional Comments:

Mgmt. Reports:

Save

Reset

Create Action Plan

View All Action Plans

FIG. 4

Assessments

Scope

Risk Assessment

Risk Detail

Action Plan

Submit

Voice / Trader Voice / Hong Kong

Risk Name	Subrisk Name	Gap Name	Control Procedure	Action Plan Status	Rating
Business Continuity	Bus. Resum.	A plan exists but is not as co	Off-site Recoverability	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	The last test was conducted	System Testing	Action Plan Created	Yellow
Business Continuity	Bus. Resum.	During the last test we had si	Test Performance	Action Plan Created	
Business Continuity	Bus. Resum.	During the last test we had si	Test Performance	Action Plan Created	

Task Search

☒ Create Action Plan
 ☐ Accept Ris

Description:

Business Continuity Pl

Target Date:

12/15/1999

Action Plan:

We will revise the current plan to include more detail such as -
-people

Status:

Open

JOEL KLEIN

80

Est. Cost:

\$5000

Save

Next

Delete

FIG. 5

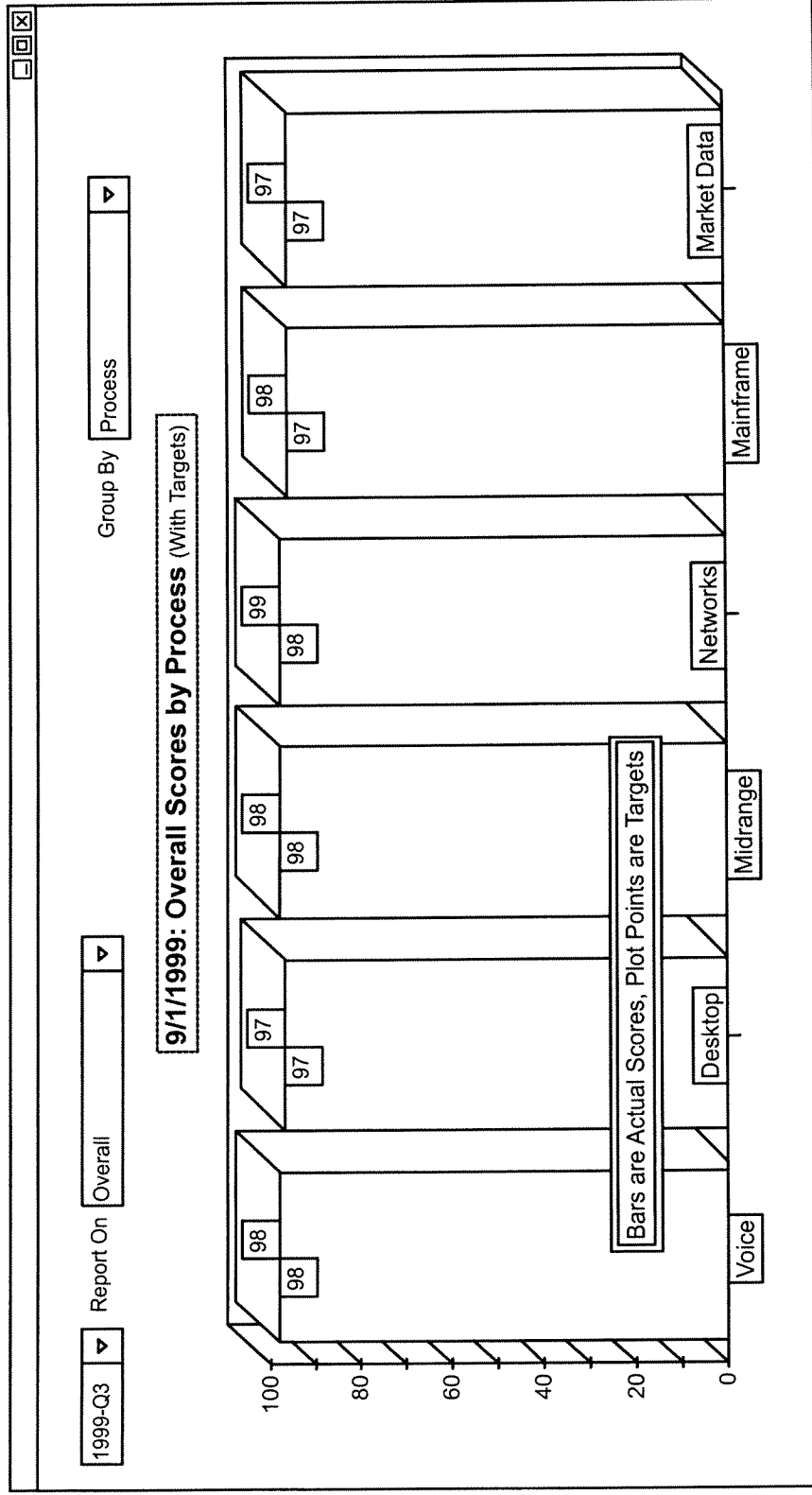


FIG. 6

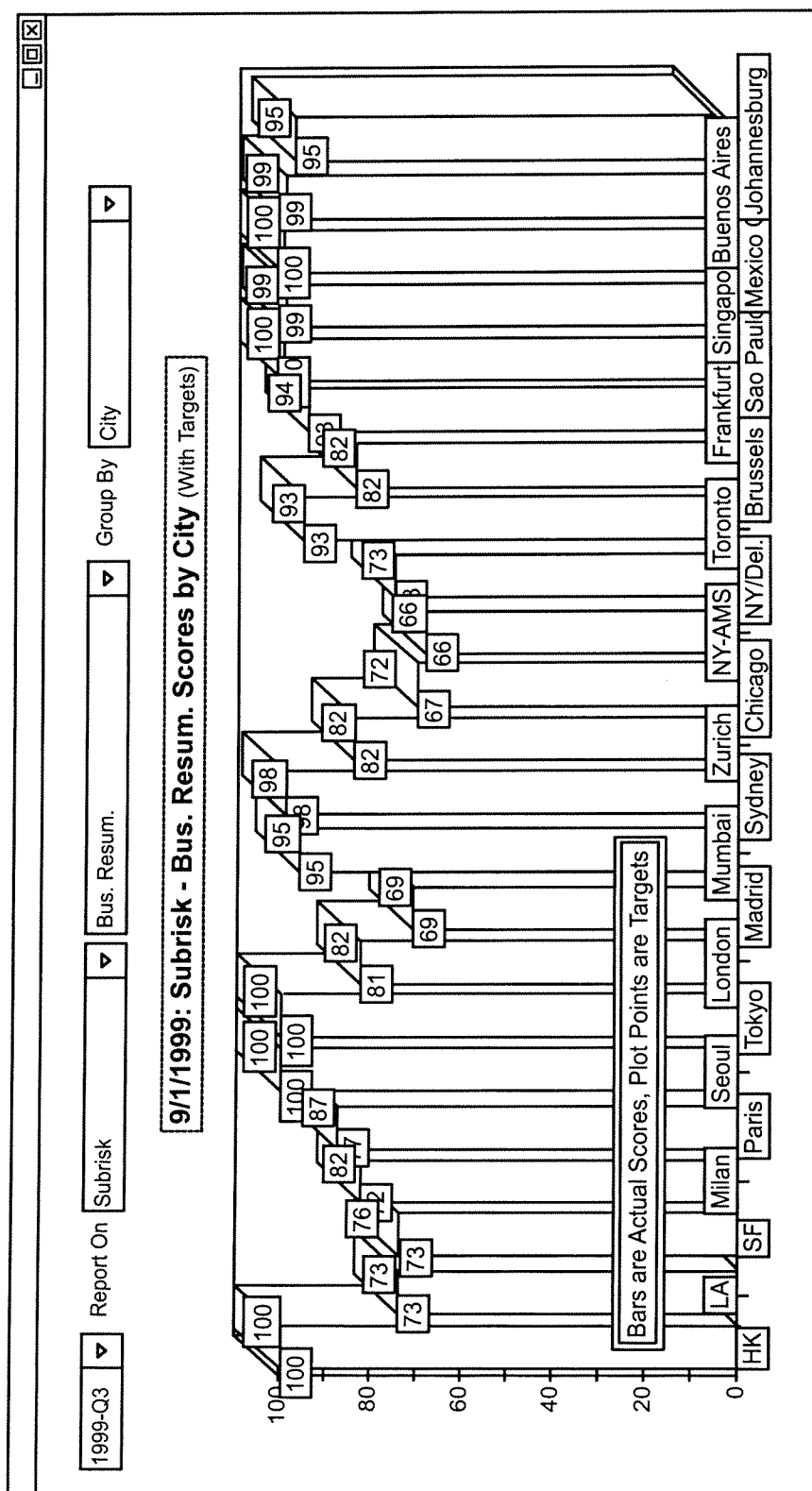


FIG. 7

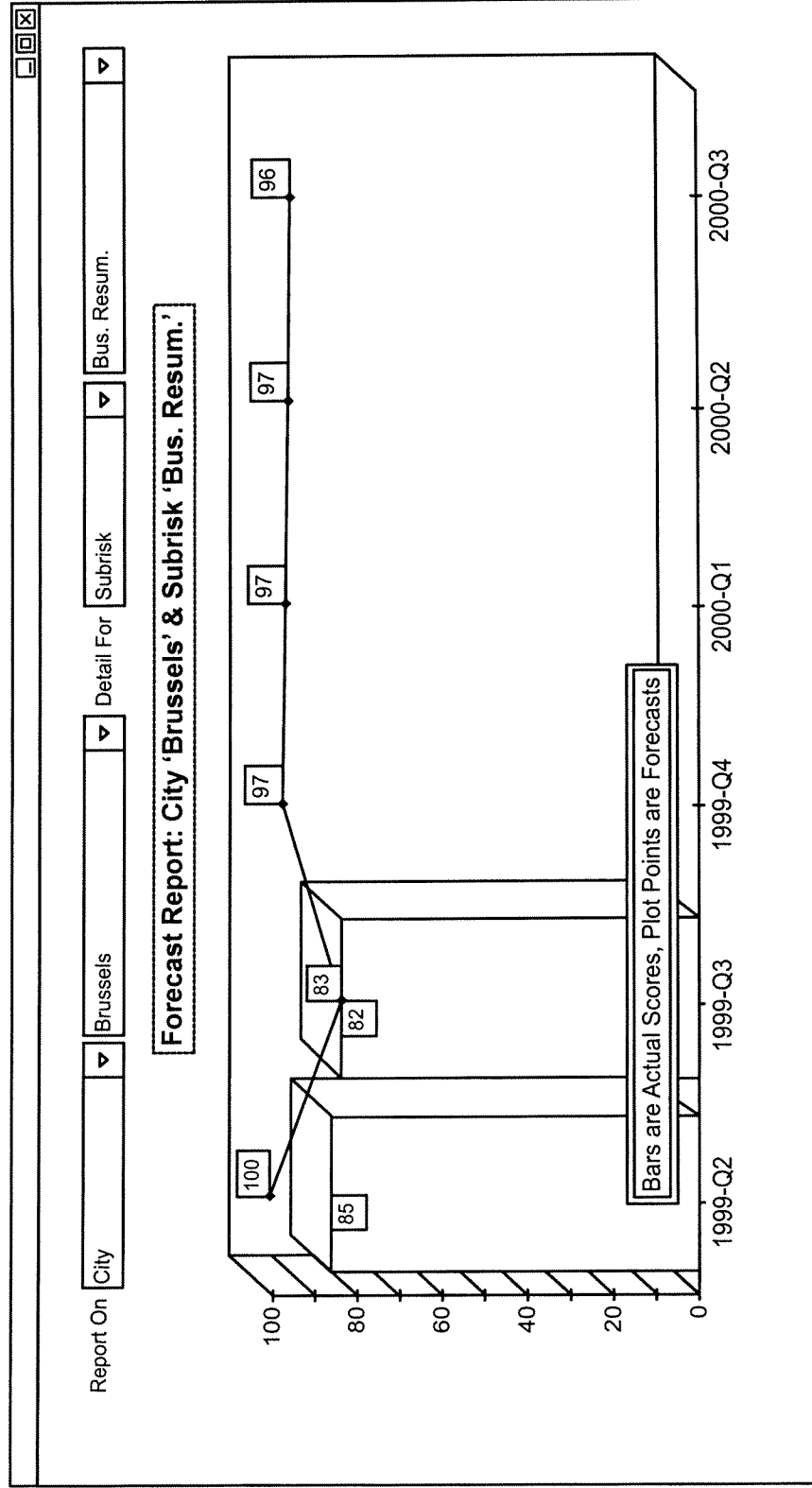


FIG. 8

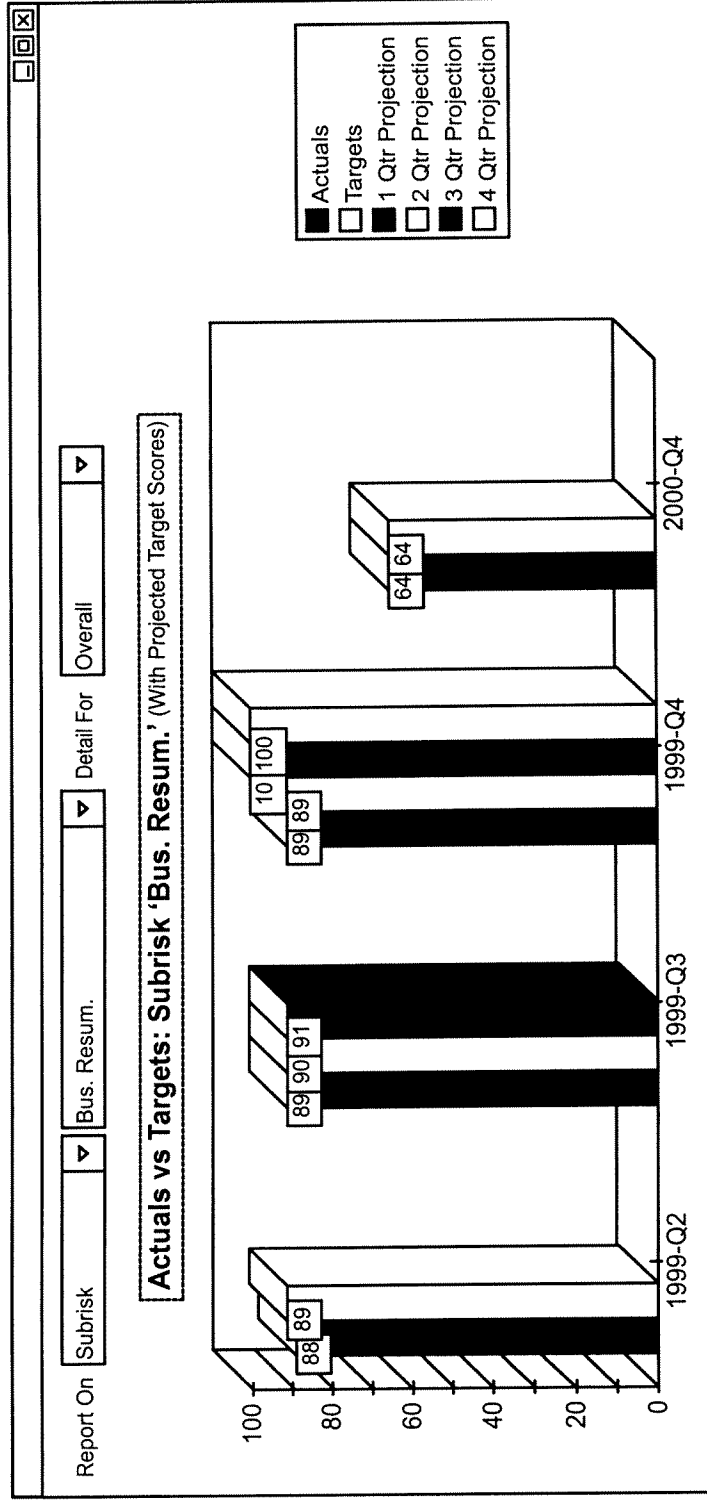


FIG. 9

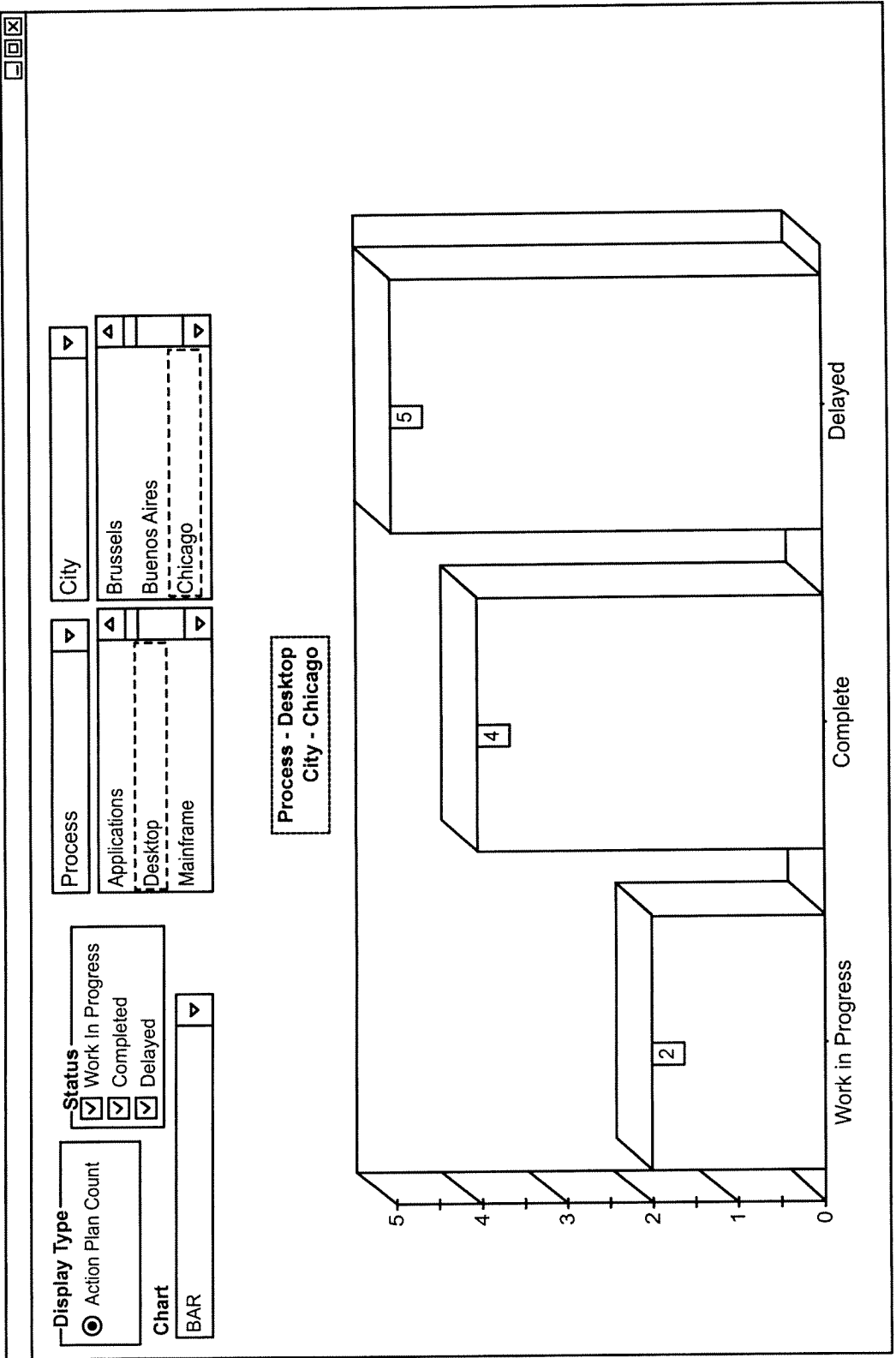


FIG. 10